

Receipt

PTO/SB/21 (08-00)  
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|   |   |                        |                 |
|---|---|------------------------|-----------------|
| <b>TRANSMITTAL FORM</b><br>(to be used for all correspondence after initial filing) |   | Application No.        | 10/037,656      |
|   |   | Filing Date            | January 2, 2002 |
|   |   | First Named Inventor   | Stanley K. Ling |
|   |   | Group Art Unit         | 2184            |
|   |   | Examiner Name          | Unassigned      |
| Total Number of Pages in This Submission  | 7 | Attorney Docket Number | 42390P12271     |

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| ENCLOSURES (check all that apply)   |  |   |
|---|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><br><input type="checkbox"/> Fee Attached<br><br><input type="checkbox"/> Amendment / Response<br><br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><br><input type="checkbox"/> Drawing(s)<br><br><input type="checkbox"/> Licensing-related Papers<br><br><input type="checkbox"/> Petition<br><br><input type="checkbox"/> Petition to Convert a Provisional Application<br><br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Request for Refund<br><br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group<br><br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br><div style="border: 1px solid black; padding: 5px; margin-top: 5px;">Request for Correction of Filing Receipt; cc of Filing Receipt.</div> |
| Remarks   |  |   |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |   |
|--|---|
| Firm or Individual name                    | Ronald S. Tamura, Reg. No. 43,179<br>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature                                  |   |
| Date                                       | March 14, 2002  |

| CERTIFICATE OF MAILING/TRANSMISSION  |              |      |                |
|--|--------------|------|----------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Box Assignment, Assistant Commissioner for Patents, Washington, D.C. 20231 on:<br>March 14, 2002 |              |      |                |
| Typed or printed name  | Laura Robles |      |                |
| Signature  |              | Date | March 14, 2002 |

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PTO/SB/17 (11-01)  
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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

|  |  |                          |                 |
|--|--|--------------------------|-----------------|
| <b>FREE TRANSMITTAL</b><br>for FY 2002<br><small>Patent fees are subject to annual revision.</small> |  | <b>Complete if Known</b> |                 |
|  |  | Application Number       | 10/037,656      |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.                      |  | Filing Date              | January 2, 2002 |
|  |  | First Named Inventor     | Stanley K. Ling |
|  |  | Examiner Name            | Unassigned      |
| TOTAL AMOUNT OF PAYMENT (\$)   |  | Group/Art Unit           | 2184            |
|  |  | Attorney Docket No.      | 42390P12271     |

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**METHOD OF PAYMENT (check one)**

☐ Check    ☐ Credit card    ☐ Money Order    ☐ Other    ☐ None

☐ Deposit Account

Deposit Account Number: 02-2666

Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below    ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of the application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

**FEE CALCULATION**

**1. BASIC FILING FEE**

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 101          | 740      | 201          | 370      | Utility filing fee     |          |
| 106          | 330      | 206          | 165      | Design filing fee      |          |
| 107          | 510      | 207          | 255      | Plant filing fee       |          |
| 108          | 740      | 208          | 370      | Reissue filing fee     |          |
| 114          | 160      | 214          | 80       | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          |                        |          |

**2. EXTRA CLAIM FEES**

Total Claims: 44  
Independent Claims: 4  
Multiple Dependent: 40

Extra Claims: 44  
Fee from below: 44  
Fee Paid: 44

| Large Entity |          | Small Entity |          | Fee Description   | Fee Paid |
|--------------|----------|--------------|----------|---|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |   |          |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                    |          |
| 102          | 84       | 202          | 42       | Independent claims in excess of 3                         |          |
| 104          | 280      | 204          | 140      | Multiple Dependent claim, if not paid                     |          |
| 109          | 84       | 209          | 42       | **Reissue independent claims over original patent         |          |
| 110          | 18       | 210          | 9        | **Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) |          |              |          |   |          |

\*\*or number previously paid, if greater, For Reissues, see below

**3. ADDITIONAL FEES**

| Large Entity        |          | Small Entity |          | Fee Description  | Fee Paid |
|---------------------|----------|--------------|----------|--|----------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |  |          |
| 105                 | 130      | 205          | 65       | Surcharge - late filing fee or oath  |          |
| 127                 | 50       | 227          | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139                 | 130      | 139          | 130      | Non-English specification  |          |
| 147                 | 2,520    | 147          | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                 | 920 *    | 112          | 920 *    | Requesting publication of SIR prior to Examiner action                     |          |
| 113                 | 1,840 *  | 113          | 1,840 *  | Requesting publication of SIR after Examiner action                        |          |
| 115                 | 110      | 215          | 55       | Extension for reply within first month                                     |          |
| 116                 | 400      | 216          | 200      | Extension for reply within second month                                    |          |
| 117                 | 920      | 217          | 460      | Extension for reply within third month                                     |          |
| 118                 | 1,440    | 218          | 720      | Extension for reply within fourth month                                    |          |
| 128                 | 1,960    | 228          | 980      | Extension for reply within fifth month                                     |          |
| 119                 | 320      | 219          | 160      | Notice of Appeal   |          |
| 120                 | 320      | 220          | 160      | Filing a brief in support of an appeal                                     |          |
| 121                 | 280      | 221          | 140      | Request for oral hearing   |          |
| 138                 | 1,510    | 138          | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                 | 110      | 240          | 55       | Petition to revive - unavoidable   |          |
| 141                 | 1,280    | 241          | 640      | Petition to revive - unintentional   |          |
| 142                 | 1,280    | 242          | 640      | Utility issue fee (or reissue)   |          |
| 143                 | 460      | 243          | 230      | Design issue fee   |          |
| 144                 | 620      | 244          | 310      | Plant issue fee  |          |
| 122                 | 130      | 122          | 130      | Petitions to the Commissioner  |          |
| 123                 | 50       | 123          | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 126                 | 180      | 126          | 180      | Submission of Information Disclosure Stmt                                  |          |
| 581                 | 40       | 581          | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                 | 740      | 246          | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                 | 740      | 249          | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                 | 740      | 279          | 370      | Request for Continued Examination (RCE)                                    |          |
| 169                 | 900      | 169          | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) |          |              |          |  |          |
| SUBTOTAL (3)        |          |              |          |  |          |

\* Reduced by Basic Filing Fee Paid

|                     |                  |                                   |                |
|---------------------|------------------|-----------------------------------|----------------|
| <b>SUBMITTED BY</b> |                  | <b>Complete (if applicable)</b>   |                |
| Name (Print/Type)   | Ronald S. Tamura | Registration No. (Attorney/Agent) | 43,179         |
| Signature           | Ronald S. Tamura | Telephone                         | (714) 557-3800 |
|                     |                  | Date                              | 03/14/02       |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.**

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Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

## FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

### Complete if Known

Application Number 10/037,656  
Filing Date January 2, 2002  
First Named Inventor Stanley K. Ling  
Examiner Name Unassigned  
Group/Art Unit 2184  
Attorney Docket No. 42390P12271

### METHOD OF PAYMENT (check one)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None  
☐ Deposit Account

Deposit Account Number 02-2666  
Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of the application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

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| SUBTOTAL (1) |          |              |          |                        | (\$)     |

#### 2. EXTRA CLAIM FEES

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Independent Claims 4  
Multiple Dependent  
Extra Claims  
Fee from below  
Fee Paid

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| SUBTOTAL (2) |          |              |          |   | (\$)     |

\*\*or number previously paid, if greater, For Reissues, see below

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
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| 149          | 740      | 249          | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179          | 740      | 279          | 370      | Request for Continued Examination (RCE)                                    |          |
| 169          | 900      | 169          | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

### SUBMITTED BY

Name (Print/Type) Ronald S. Tamura

Registration No. (Attorney/Agent)

43,179

### Complete (if applicable)

Telephone (714) 557-3800

Signature Ronald S. Tamura

Date 03/20/02

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Our Docket No.: 42390P12271

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Stanley K. Ling, et al.

Application No.: 10/037,656

Filed: January 02, 2002

For: **ADAPTIVE FILTERING WITH TAP  
LEAKAGE USING ERROR FILTERING**

Examiner: Unassigned

Art Group: 2184

**RECEIVED**  
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**Technology Center 2100**

REQUEST FOR CORRECTION OF FILING RECEIPT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

We have received the Filing Receipt for the above-identified U.S. Patent Application (copy enclosed). Upon our review, we have discovered that the filing date is incorrect. The Filing Receipt indicates the filing date as:

"01/03/2002"

The filing date should be corrected to read as follows:

"01/02/2002".

Please correct your records to reflect the correct filing date, and send us a corrected Filing Receipt.

If there are any additional charges, please charge them to Account No. 02-2666. An extra copy of the Fee Transmittal is enclosed for deposit account charging purposes. Please direct all communications regarding this matter to the undersigned.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN



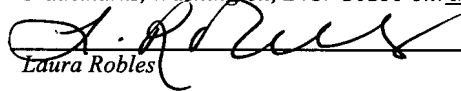
RONALD S. TAMURA  
Reg. No. 43,179

Dated: March 14, 2002

12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, California 90025  
(714) 557-3800

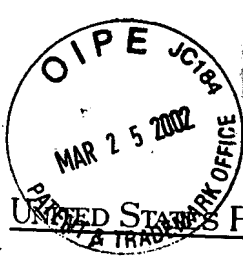
**CERTIFICATE OF MAILING**

*I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231 on: March 14, 2002*



Laura Robles

03/14/02



BHT

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTY. DOCKET NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|---------------|-----------------|----------|------------|------------|
| 10/037,656         | 01/03/2002  | 2184         | 1256          | 42390P12271     | 5        | 44         | 4          |

08791

BLAKELY SOKOLOFF TAYLOR & ZAFMAN  
12400 WILSHIRE BOULEVARD, SEVENTH FLOOR  
LOS ANGELES, CA 90025

CONFIRMATION NO. 6550

FILING RECEIPT



OC000000007480574\*

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FEB 19 2002BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

Date Mailed: 02/14/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Stanley K. Ling, Rocklin, CA;  
Hiroshi Takatori, Sacramento, CA;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 02/14/2002

Projected Publication Date: 07/03/2003

Non-Publication Request: No

Early Publication Request: No

## Title

Adaptive filtering with tap leakage using error filtering

Preliminary Class

714

ENTERED

FEB 19 2002

STATUS DB-LA

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FEB 21 2002  
BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP  
COSTA MESA

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APR 04 2002

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FEB 20 2002

S.S.I.Z. DATABASE DEPT.

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2/20/2002

LICENSE FOR FOREIGN FILING UNDER

Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15

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Technology Center 2100

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



UNITED STATES PATENT AND TRADEMARK OFFICE

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WASHINGTON, DC 20231  
www.uspto.gov

10/037,058 04/09/2002 2121 1256 42000P12271 5 44 4

CONFIRMATION NO. 6550

08791  
BLAKELY SOKOLOFF TAYLOR & ZAFMAN  
12400 WILSHIRE BOULEVARD, SEVENTH FLOOR  
LOS ANGELES, CA 90025

FILING RECEIPT



\*OC000000007480574\*

Date Mailed: 04/01/2002

RECEIVED

RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT APR 04 2002

Application Filing Date

Technology Center 2100

In response to your request for a corrected Filing Receipt, the Office can not comply with your request because:

- ☒ If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a petition to accord a filing date should be submitted along with a copy of the Express Mail label showing the "date in" and be directed to the Office of Petitions.
- ☐ A copy of the Express Mail label was not enclosed with your request. Petitions under 37 CFR 1.10 require a copy of the Express Mail Label to be submitted.
- ☒ The "date in" on the Express Mail label is the date given on the Filing Receipt.
- ☐ The filing date accorded to the application is the date the application met the filing date requirements of 37 CFR 1.53(b) or (c).
- ☐ Applications submitted with a certificate of mailing under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the U.S. Patent and Trademark Office. A request to review the filing date accorded to the application must be in the form of a petition.
- ☐ The filing date on your return postcard is the same as the date on your Filing Receipt. A request to review the filing date accorded to the application must be in the form of a petition.

BEST AVAILABLE COPY



A petition under 37 CFR 1.10, 37 CFR 1.53 or 37 CFR 1.182 is needed to request a change to the filing date. A \$130 petition fee is required for a petition under 1.53 or 1.182. If you choose to file a petition, the petition and the \$130 petition fee, if any, to:

Box DAC  
Commissioner for Patents  
Washington, DC 20231

---

---

Customer Service Center  
Initial Patent Examination Division  
(703) 308-1202